# APPENDIX K

| Number of Services | Personnel | | | Consumer | | | Incidents & Complaints | | | Grand Total Events |
|---|---|---|---|---|---|---|---|---|---|---|
| | Personnel Documentation | Personnel Interview | Personnel Total | Service Record Documentation | Individual Interview | Individual Total | Incidents | Complaints | I & C Total | |
| 1 | 10 | 10 | 20 | 10 | 10 | 20 | 15 | 9 | 24 | 64 |
| 2 | 10 | 10 | 20 | 10 | 10 | 20 | 15 | 9 | 24 | 64 |
| 3 | 15 | 10 | 25 | 15 | 10 | 25 | 15 | 9 | 24 | 74 |
| 4 | 12 | 10 | 22 | 12 | 10 | 22 | 15 | 9 | 24 | 68 |
| 5 | 15 | 10 | 25 | 15 | 10 | 25 | 15 | 9 | 24 | 74 |
| 6 | 18 | 10 | 28 | 18 | 10 | 28 | 15 | 9 | 24 | 80 |
| 7 | 14 | 10 | 24 | 14 | 10 | 24 | 15 | 9 | 24 | 72 |
| 8 | 16 | 10 | 26 | 16 | 10 | 26 | 15 | 9 | 24 | 76 |
| 9 | 18 | 10 | 28 | 18 | 10 | 28 | 15 | 9 | 24 | 80 |
| 10 | 20 | 10 | 30 | 20 | 10 | 30 | 15 | 9 | 24 | 84 |
| >10 | | | | | | | | | | |

**Maximum Resource Intensity of the Provider Monitoring Tool Based on the Number of Services Provided by an Agency**

Worksheet 1: Provider Documentation
• While some aspects of the agency's Quality Management process can be completed as a desk review before the on-site visit (e.g., review of meeting minutes), this information will most likely need to be augmented by an interview with relevant staff and review of QA/QI studies and data on-site.

Worksheet 2: Personnel Record Documentation
• If the provider has fewer than 8 personnel, review the records for all personnel.
• If the provider has more then 10 services, review at least 1 personnel record from each service.

Worksheet 3: Personnel Interview
• If the provider has fewer than 8 personnel, interview all personnel.

Worksheet 4: Service Record Documentation
• If the provider serves fewer than 8 consumers, review all records.

Worksheet 5: Individual Interview
• If the provider serves fewer than 8 individuals, interview all individuals (or legally responsible person).

Worksheet 6: Incidents and Complaints
• If there are no Level III incidents, select more Level II incidents in order to have a total of 9 incidents.
• If the provider has fewer than 12 incidents, review all incidents.
• If there are fewer than 9 complaints, review them all.
• If during review of the review of an individual's service record or restrictive intervention log a team member finds an incident that is not in the sample, the incident will be added to the audit sample and reviewed (up to a total of 15 incidents with no more than 2 incidents for the same consumer).